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Joyce Maule  
Name

*Joyce Maule*  
Signature

4865-104 US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Xian-Ping Lu

Serial No.: 10/713,722

Group Art Unit: 1614

Filed: November 14, 2003

Examiner: TBA

Title: Noncyclic 1,3-Dicarbonyl Compounds as Dual PPAR Agonists with Potent  
Antihyperglycemic and Antihyperlipidemic Activity

**Information Disclosure Statement**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, Applicant hereby brings to the attention of the United States Patent and Trademark Office the following documents of which Applicant has been made aware. The documents are listed on the attached PTO Form 1449. Copies of the documents are enclosed.

Applicant submits that this Information Disclosure Statement is submitted prior to the 1<sup>st</sup> office action.

It is requested that the references be considered by the Examiner and be made of record as part of the available prior art under 37 C.F.R. § 1.104.

Respectfully submitted,



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Patrick H. Higgins, Reg. No. 39,709  
Attorney for Applicant

MATHEWS, COLLINS, SHEPHERD & MCKAY  
100 Thanet Circle, Suite 306  
Princeton, NJ 08540  
(609) 924-8555 - Telephone  
(609) 924-3036 - Facsimile

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Substitute for form 1449A/PTO

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

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of 2

<i><b>Complete if Known</b></i>	
Application Number	10/713,722
Filing Date	November 14, 2003
First Named Inventor	Xian-Ping Lu
Group Art Unit	1614
Examiner Name	TBA
Attorney Docket Number	4865-104 US

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

Examiner Signature		Date Considered	
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet

2

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**Complete if Known**

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First Named Inventor	Xian-Pink Lu
Group Art Unit	1614
Examiner Name	TBA
Attorney Docket Number	4865-104 US

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	7	T.M. WILSON, et al, "The PPAR's from orphan receptors to drug discovery," J. Med. Chem. 2000 43:527-550, A	
	8	CHAWLA, et al, Nuclear receptors and lipid physiology "Opening the X-files", Science, 2001, vol 294, 1866-1870	
	9	KELLER & WAHLI, "Peroxisome Proliferator-Activated Receptors A Link Between Endocrinology and Nutrition, TEM vol 4, No. 9, 1993, 291-296	
	10	WANG YX et al, "Peroxisome-Proliferator-Activated Receptor o Activaaaaates Fat Metabolism to Prevent Obesity, Cell, April 18, 2003, vol. 113, 159-170	
	11	LEE, CH et al, Transcriptional Repression of Atherogenic Inflammation: Modulation by PPAR's, Science, vol 302, October 17, 2003, pp 453-457	

Examiner Signature

Date Considered

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